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PTO/SB/08A (08-00)

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**Substitute for form 1449A/PTO**

FEB 15 2002

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet 1 of 2

<i>Complete if Known</i>	
Application Number	10/037,563
Filing Date	12/21/2001
First Name of Inventor	Ronald Earl Pruitt
Group Art Unit	
Examiner Name	
Attorney Docket Number	6476/53629

U.S. PATENT DOCUMENTS

## **FOREIGN PATENT DOCUMENTS**

<b>Examiner Signature</b>	/Susanna M. Diaz/	<b>Date Considered</b>	04/02/2007
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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Sheet 2 of 2

<b>Complete if Known</b>	
<b>Application Number</b>	
<b>Filing Date</b>	12/21/2001
<b>First Named Inventor</b>	Pruitt
<b>Group Art Unit</b>	
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	6476/53629

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Signature	/Susanna M. Diaz/	Date Considered	04/02/2007
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Sheet 1 of 1

Complete If Known	
<b>Application Number</b>	10/037,563
<b>Filing Date</b>	12/21/2001
<b>First Name &amp; Initials</b>	Pruitt
<b>Group Art Unit</b>	2164
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	6476/53629

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Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/SMD/		ITG Financial Engineering Group, "Capital Gains Taxes and Portfolio Optimization," July 18, 2000, Boston, MA.	

Examiner Signature	/Susanna M. Diaz/	Date Considered	04/02/2007
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